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| <b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>   |  | ATTORNEY'S DOCKET NO.<br>1034136-000037       |
|   |  | U.S. APPLICATION NO. (If known)<br>10/594,027 |
| INTERNATIONAL APPLICATION NO.<br>PCT/US2005/010217  | INTERNATIONAL FILING DATE<br>25 March 2005 | PRIORITY DATE CLAIMED<br>26 March 2004        |
| TITLE OF INVENTION<br>TRIMETASPHERES AS DRY LUBRICANTS, WET LUBRICANTS, LUBRICANT ADDITIVES, LUBRICANT COATINGS, CORROSION-RESISTANT COATINGS AND THERMALLY-CONDUCTIVE MATERIALS  |  |   |
| APPLICANT(S) FOR DO/EO/US<br>Charles B. GAUSE   |  |   |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |  |   |
| <ol style="list-style-type: none"> <li>1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> <p>Items 11 to 20 below concern document(s) or information included:</p> <ol style="list-style-type: none"> <li>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input type="checkbox"/> A preliminary amendment.</li> <li>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li> <li>15. <input type="checkbox"/> A substitute specification.</li> <li>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</li> <li>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825.</li> <li>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</li> <li>19. <input type="checkbox"/> A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).</li> <li>20. <input checked="" type="checkbox"/> Other items or information: <b>Copy of Notification of Missing Requirements Under 35 U.S.C. Section 371 in the United States Designated/Elected Office (DO/EO/US) dated June 14, 2007</b></li> </ol> |  |   |

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| U.S. APPLICATION NO. (If known)<br>10/594,027 | INTERNATIONAL APPLICATION NO.<br>PCT/US2005/010217 | ATTORNEY'S DOCKET NO.<br>1034136-000037 |
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|   |              |   |         |                        |              |
|---|--------------|---|---------|------------------------|--------------|
| The following fees have been submitted:   |              |   |         | CALCULATIONS           | PTO USE ONLY |
| 21. <input type="checkbox"/> Basic National fee (37 CFR 1.492(a)) (1631) \$ 300   |              |   |         | \$ 0                   |              |
| 22. <input type="checkbox"/> Examination fee (37 CFR 1.492(c))<br>If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) (1643) \$ 0<br>All other situations (1633) \$ 200  |              |   |         | \$                     |              |
| 23. <input type="checkbox"/> Search fee (37 CFR 1.492(b))<br>If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) (1640) \$ 0<br>Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority (1641) \$ 100<br>International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB (1642) \$ 400<br>All other situations (1632) \$ 500 |              |   |         | \$                     |              |
| <b>TOTAL OF 21, 22 AND 23 =</b>   |              |   |         | \$                     |              |
| <input type="checkbox"/> Additional fee for specifications and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)).<br>The fee is \$ 250 (1681) for each additional 50 sheets of paper or fraction thereof.  |              |   |         |                        |              |
| Total Sheets  | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE    |                        |              |
| 0   | -100 =       | 0   | /50 = 0 | x \$ 250               | \$ 0         |
| <input checked="" type="checkbox"/> Surcharge of \$ 130 (1617) for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).  |              |   |         | \$ 130                 |              |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA  | RATE    |                        |              |
| Total claims  | 32           | - 32 =  | 0       | x \$ 50 (1615)         | \$ 0         |
| Independent Claims  | 2            | - 3 =   | 0       | x \$ 200 (1614)        | \$ 0         |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)   |              |   |         | + \$ 360 (1616)        | \$ 0         |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |              |   |         | \$ 130                 |              |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2  |              |   |         | 65                     |              |
| <b>SUBTOTAL =</b>   |              |   |         | \$ 65                  |              |
| Processing fee of \$ 130 (1618) for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).  |              |   |         | +                      | 0            |
| <b>TOTAL NATIONAL FEE =</b>   |              |   |         | \$ 65                  |              |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$ 40 per property  |              |   |         | +                      | 0            |
| <b>TOTAL FEES ENCLOSED =</b>  |              |   |         | \$ 65                  |              |
| 07/24/2007 GFREY1 00000132 10594027   |              |   |         | Amount to be refunded: | \$           |
| 01 FC:2617 65.00 OP   |              |   |         | Amount to be charged:  | \$           |

- a. ☐ A check in the amount of \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. 02-4800 in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 02-4800. A duplicate copy of this sheet is enclosed.
- d. ☒ Charge \$ 65 to credit card. Form PTO-2038 is attached.
- NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.**

SEND ALL CORRESPONDENCE TO:

Customer No 21839  
P.O. Box 1404  
Alexandria, VA 22313-1404  
703 836 6620  
Date: July 23, 2007

SIGNATURE

Susan M. Dadio  
NAME

40373  
REGISTRATION NO.



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

|                             |                       |                  |
|-----------------------------|-----------------------|------------------|
| U.S. APPLICATION NUMBER NO. | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
| 10/594,027                  | Charles B. Gause      | 1034136-000037   |

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| INTERNATIONAL APPLICATION NO. |
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PCT/US05/10217

|                  |               |
|------------------|---------------|
| I.A. FILING DATE | PRIORITY DATE |
|------------------|---------------|

03/25/2005

03/26/2004

21839

BUCHANAN, INGERSOLL & ROONEY PC  
 POST OFFICE BOX 1404  
 ALEXANDRIA, VA 22313-1404

CONFIRMATION NO. 7294

371 FORMALITIES LETTER



\*OC000000024354443\*

Date Mailed: 06/14/2007

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 09/25/2006
- Copy of the International Search Report filed on 09/25/2006
- Preliminary Amendments filed on 09/25/2006
- Information Disclosure Statements filed on 09/25/2006
- U.S. Basic National Fees filed on 09/25/2006
- Priority Documents filed on 09/25/2006
- Specification filed on 09/25/2006
- Claims filed on 09/25/2006
- Abstracts filed on 09/25/2006
- Drawings filed on 09/25/2006

1034136-000037

SMD

|                       |
|-----------------------|
| BUCHANAN INGERSOLL PC |
| JUN 15 2007           |
| DOCKETED              |

*missing parts due 8/14/07*

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$65 for a Small Entity:

- \$65 Surcharge.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.  
<https://sportal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at 1-866-217-9197 or visit our website at <http://www.uspto.gov/ebc>.

**If you are not using EFS-Web to submit your reply, you must include a copy of this notice.**

PAULETTE R KIDWELL

Telephone: (703) 308-9140 EXT 216

PART 1 - ATTORNEY/APPLICANT COPY

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 10/594,027                  | PCT/US05/10217                | 1034136-000037   |